



COMMONWEALTH *of* VIRGINIA

DEPARTMENT OF EDUCATION

P. O. BOX 2120
RICHMOND, VIRGINIA 23216-2120

April 8, 2005

TO: Superintendents of Approved Adult Basic Education Programs
Adult Education Program Managers

FROM: Yvonne V. Thayer, Ed.D., Director
Office of Adult Education and Literacy

SUBJECT: Application for Adult Basic Education (ABE) Funds, 2005-2006

Enclosed are the forms to be submitted as the annual application for adult basic education funds. Your ABE allocation for 2005-2006 is on the enclosed table and should be used in preparing the application. Please note that the allocation is the maximum amount that you are allowed to expend and is contingent upon the availability of funds from the U. S. Department of Education; however, carryover funds are not included in this amount. You will receive a follow-up correspondence later in the year with an adjustment.

Program Priorities

We continue to work diligently on Governor Mark Warner's Race to GED initiative. The Fast Track model has been implemented successfully in a number of localities throughout Virginia. Several months ago you received GED targets by locality in a mailing from State Superintendent of Public Instruction Dr. Jo Lynne DeMary. We encourage you to use a portion of your ABE funds for doubling the number of GEDs in your locality/region in 2005-2006. We hope that you will consider using the Fast Track model to accomplish this.

Program Improvement

We have included a "Program Improvement Report Form" in the packet. Please review your 2003-2004 performance report and use this form to list targets not met and action that you will take to ensure that these targets are met in the future.

Corrections and Institutions (C & I)

You have the option of using up to 10 percent of your ABE allocation to serve corrections education and education for other institutionalized individuals. The maximum amount you may spend on C & I is listed in the column beside your 2005-2006 total allocations.

You are not required to spend any of your ABE allocation on local and regional jail programs. In fact, you may wish to use this money for other initiatives, such as Fast Track GED.

Programmatic Amendments

Eligible applicants submitted a five-year plan in 1999 under the requirements of the *Workforce Investment Act of 1998*. If you need to make programmatic amendments to your five-year comprehensive plan, submit only the revised section or a statement that includes reference to the specific section and the amendment date. Include amendments related to the Race to GED initiative.

Budget Forms, Assurances, and Certifications

The application packet includes the revised budget forms and instructions, revised assurances, and certifications to be used in applying for ABE funds for FY 2005-2006. When submitting the budget forms and requests for reimbursement, separate C & I (jail) programs from other ABE funds.

Staff Development Related to State Initiatives

Please provide ample staff development dollars in your budget. Staff development opportunities and participation are essential to ensure that administrators and teachers are knowledgeable about Fast Track GED, the National Reporting System (NRS) and program improvement, and other initiatives. Staff development dollars should be a line item in your instructional budget.

Data System

You are required to use the Department of Education's Web-based adult education data collection software. You must enter data no later than the 20th day of each month. Equipment should be updated to provide adequate support for the data system and other administrative/instructional requirements. The "Computer Equipment Inventory" form in this packet should be completed and returned with your application.

Deadline for Receipt of Application

Please return the application packet to Dr. Yvonne V. Thayer, Director, Office of Adult Education and Literacy, P.O. Box 2120, Richmond, VA 23218-2120 (street address: 101 N. 14th Street, Richmond, VA 23219) no later than May 13, 2005.

Inquiries

Should you have questions regarding this process, please call Elizabeth Hawa, associate director, at 804-225-2836, Elizabeth.Hawa@doe.virginia.gov. Budget questions may be directed to Lynn Godfrey, grants manager, at 804-225-2850, Lynn.Godfrey@doe.virginia.gov.

This application packet is also available at the Department of Education's Web site:
http://www.pen.k12.va.us/VDOE/Instruction/Adult/bulletin_board.html.

YVT/EMH/gjm
Enclosures



**Office of
Adult
Education**

**Application Packet
for
Adult Basic Education
Funds
2005-2006**



Virginia Department of Education
Richmond, VA

Table of Contents

I. Application Instructions.....	1
Instructions for Completing the Application Budget.....	2
Expenditure Categories	4
Guidelines for Developing Matching Funds.....	5
II. Application and Forms.....	6
Budget Summary Sheet.....	7
Budget Worksheet.....	8
Computer Equipment Inventory	9
Program Performance and Improvement Report	10
ABE and C & I Contact Sheet	12
III. Allocations for 2005-2006	13
IV. Assurances	19
V. Appendix.....	27
Sample Computer Equipment Inventory.....	28

I. Application Instructions

**INSTRUCTIONS FOR COMPLETING THE
2005-2006 ADULT BASIC EDUCATION APPLICATION
BUDGET SUMMARY SHEET AND BUDGET WORKSHEET**

Please complete a **Budget Worksheet** for each locality and institutions included in the plan and combine those on the **Budget Summary Sheet**. Forms for both the **Budget Worksheet** and the **Budget Summary Sheet** are included in this packet. You will need to show line items under each object code on the **Budget Worksheet**, with ABE and C&I dollars shown in separate columns. Refer to the FY 2005-2006 allocation for the total amount available from federal/state funds. Round all budget figures to the nearest whole dollar.

The instructions for completing the **Budget Summary Sheet** are as follows:

- Item 1 In the upper right hand corner, check (✓) whether this is an **original** or an **amendment**. An original application must be submitted before the amended copy. Enter the date of submission.
- Item 2A **Locality** means the county, town, or city that is applying. If this is a regional program, enter the name of each locality included in this application.
- In the block “**Type**,” you must indicate if the funding is for ABE or C & I. If you are not offering a C & I program, all of your allocation will be noted as ABE. If you are offering a C & I program, you must break down the allocation to show both ABE and C & I.
- Item 2C The approved funding amount will be entered in this column by the VDOE.
- Item 3 Total all applicable columns.
- Item 4 Enter the organization's name and address.
- Item 5 Type in the name of the Contact Person and enter his/her title, phone number, fax number and e-mail address. **An e-mail address is required.**
- Item 6 Include the signature and title of the superintendent of the division that serves as fiscal agent. Note: This must be signed by the superintendent or designee.
- Item 7 Enter local funds spent for 2004-2005 and the estimated amount of funds to be spent in 2005-2006.
- Item 8 This item will be completed by the VDOE office.
- Item 9 This item is for the approval signatures from the VDOE office.

Local Match Note: The Virginia Department of Education (VDOE) will provide 85 percent of the cost of the program. A 15 percent local match is required. The match may be made as either (1) cash or (2) a combination of the same dollar amount of cash previously provided and in-kind contributions (See page 5, “Guidelines for Developing Matching Funds”). The match may exceed 15 percent but cannot be less than 15 percent.

In order to calculate the match, follow these steps:

- ◆ Step 1. Identify the amount of funding your program is receiving from VDOE. This is the VDOE contribution.
- ◆ Step 2. Divide the VDOE contribution by 85 percent (0.85). The quotient is the total cost of your program.
- ◆ Step 3. Subtract the VDOE contribution from the total cost of your program. The remainder equals the 15 percent local match required.

For example, if the VDOE contribution equals \$15,385, then

$$\$15,385 / 0.85 = \$18,100$$

$$\$18,100 - \$15,385 = \$2,715$$

$$\begin{array}{r} \$15,385 - 85\% \text{ from the VDOE} \\ + 2,715 - 15\% \text{ from the Locality} \\ \hline \$18,100 - \text{Total Cost of Program} \end{array}$$

Indirect Cost Percentage: If you are claiming indirect cost, you must identify indirect cost by line item under the expenditure category 5000, Other Charges. The amount you may claim is based on the school division’s approved indirect cost percentage, not to exceed eight percent.

Do not include equipment cost when calculating the indirect cost figure.

Item 2B **Budget:** Once the **Budget Worksheet** for each entry in 2A has been completed, enter the totals:

- the administrative cost for each (by local match and federal/state funds requested)
- the instructional cost for each (by local match and federal/state funds requested)
- the total for each (by local match and federal/state funds requested)

If the amount of the administrative cost requested from the federal/state allocation exceeds five percent of the total federal/state allocation requested, provide a written request for a waiver of the five percent limit and give a detailed explanation justifying this need. The written request must be received with the application and cannot exceed 20 percent.

EXPENDITURE CATEGORIES

1000 Personal Services

(Salaries & Wages) All compensation for the direct labor of persons in employment of the local agency. Salaries and wages paid to employees for full- and part-time work, including overtime, shift differential and similar compensation. Also includes payment of time not worked, including sick leave, vacation, holidays, and other paid absences (jury duty, military pay, etc.), which are earned during the reporting period.

2000 Employee Benefits

Job-related benefits provided employees as part of their total compensation. Fringe benefits include the employer's portion of FICA, pensions, insurance (life, death, disability income, etc.) and employee allowances.

3000 Purchased Services

Services acquired from outside sources (i.e., private vendors, tuition, client/participant travel, day care, public authorities or other governmental entities).

4000 Internal Services

Charges from an Internal Service Fund to other activities or elements of the local government (i.e., data processing, automotive/motor pool, central purchasing, or print shop).

5000 Other Charges

Utilities, communications, insurance, leases/rentals, staff/consultant travel, indirect cost or miscellaneous. (Mileage, lodging, and meals will be limited to no more than the current state-approved rate. The current mileage rate is .325 per mile.)

6000 Materials and Supplies

Includes articles and commodities, which are consumed or materially altered when used, and minor equipment (less than \$1,000), which is not capitalized.

8000 Equipment

Includes computers, furniture and fixtures, and equipment in excess of \$1,000.

GUIDELINES FOR DEVELOPING MATCHING FUNDS

A. CASH

B. IN-KIND ALLOWABLE MATCHES – Nonfederal funds that are used for adult education and literacy activities in a manner consistent with the purpose of the Adult Education and Family Literacy Act of 1998.

- | | |
|---------------------------------------|--|
| 1. Compensation for Personal Services | Justifiable administrative, supervisory, fiscal, or other personal services directly involved with support of the program operation. Documentation would be required to identify the percent of support from each, converted to a dollar amount. |
| 2. Supplies | Items that directly support the program activity. Documentation would be required to identify the purchase as well as the use of these supplies. |
| 3. Utilities | Heat, electricity, phone, copier, and fax usage. Documentation would be required to identify the percentage of use directly related to the program, converted to a dollar amount. |
| 4. Building Use | “Rent” may be utilized as in-kind and would be based on the fair market rental rate in the area. This would apply when State, LEA, or other agency property is used as space to support program activities. Documentation of an appraisal of fair market rental rate for the area would be required. The percentage of use-time would be converted to a dollar amount. |
| 5. Teaching Aids | Cost of audiovisual materials and other aids used in support of the activity. |

Please Note: *Additional information on in-kind match requirements is found in OMB Circular A-133.*

II. Application and Forms

Commonwealth of Virginia
Department of Education
P. O. Box 2120
Richmond, VA 23218-2120

(1) SUBMIT IN DUPLICATE

Original _____
Amendment _____
Date _____

ADULT EDUCATION APPLICATION 2005-2006
COMPREHENSIVE PLAN
BUDGET SUMMARY SHEET

2[A] LOCALITY		2[B] BUDGET						2[C] APPROVED STATE USE ONLY
		ADMINISTRATION		INSTRUCTION		TOTAL		
	Type*	LOCAL MATCH	FEDERAL/STATE REQUEST	LOCAL MATCH	FEDERAL/STATE REQUEST	LOCAL MATCH	FEDERAL/STATE REQUEST	
(3) TOTAL								
(4) Applicant Mailing Address:								
(5) ABE Contact Person/ Title: _____ Phone No: _____ Fax No: _____ Email: _____								
(6) Authorized Signature: _____ Type/Print Name: _____ Title: _____								
(7) Maintenance of Effort		(8) VDOE Office Use Only			VDOE Office Use Only			
Local Funds Spent for (FY 04-05) \$ _____		Payee Code: _____			(9) Recommended: _____ (Grants Manager)			
Estimated local funds for (FY 05-06) \$ _____		*Type: ABE – Adult Basic Education C & I – Corrections & Institutions			Approval: _____ (Director, Adult Education and Literacy)			
					Effective Date: _____			

ADULT EDUCATION BUDGET WORKSHEET

2005-2006

	Administrative ABE		Instructional ABE		Administrative C&I		Instructional C&I		TOTAL
	Federal/ State	Local Match	Federal/ State	Local Match	Federal/ State	Local Match	Federal/ State	Local Match	
1000 Personal Services									
2000 Employee Benefits									
3000 Purchased Services									
4000 Internal Services									
5000 Other Charges									
6000 Materials & Supplies									
8000 Equipment									
TOTAL									

Note: You do not have to match line item for line item, but be sure your total local match meets the required 15 percent.

**ADULT EDUCATION
COMPUTER EQUIPMENT INVENTORY FOR ABE FUNDS
MAY 2005**

Description of Equipment	Serial # or Model #	Acquisition Date	Cost	% Federal Participation in Cost	Location of Equipment	
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						

****Note:** List on this form all computers and computer-related equipment purchased with ABE funds currently in use by your program.

Local Program Performance and Improvement Report (ABE/ASE)

Part of Regional Program: ____ Yes ____ No

Total ABE/ASE with 12+ hours: ____

Locality Name: _____

Total ABE/ASE with 12+hours completing a level: ____

NRS Educational Functioning Level	State Target/ Performance (%) FY: 2003-2004	Actual Local Program Performance (%) FY: 2003-2004	Corrective Action Taken in 2004-2005 and Corrective Action Plan for 2005-2006 <i>(Attach additional pages as needed)</i>
ABE Beginning Literacy	Target: 29% Actual: 40%		
ABE Beginning Basic Education	Target: 35% Actual: 45%		
ABE Intermediate Low	Target: 37% Actual: 43%		
ABE Intermediate High	Target: 37% Actual: 43%		
ASE Low	Target: 40% Actual: 55%		

Local Program Performance and Improvement Report (ESL)

Part of Regional Program: ____ Yes ____ No

Total ESL with 12+ hours: ____

Locality Name: _____

Total ESL with 12+hours completing a level: ____

NRS Educational Functioning Level	State Target/ Performance (%) FY: 2003-2004	Actual Local Program Performance (%) FY: 2003-2004	Corrective Action Taken in 2004-2005 and Corrective Action Plan for 2005-2006 <i>(Attach additional pages as needed)</i>
ESL Beginning Literacy	Target: 31% Actual: 36%		
ESL Beginning	Target: 31% Actual: 36%		
ESL Intermediate Low	Target: 36% Actual: 41%		
ESL Intermediate High	Target: 36% Actual: 39%		
ESL Low Advanced	Target: 33% Actual: 26%		
ESL High Advanced	Target: 32% Actual: 26%		



Virginia Department of Education
Office of Adult Education and Literacy
GED Services-21st Floor
Mailing Address
P.O. Box 2120
Richmond, Virginia 23218-2120
Phone (804) 225-2075

Physical Location
101 N. 14th Street
Richmond, Virginia 23219
(Corner of 14th & Franklin St.)

ADULT BASIC EDUCATION AND CORRECTIONS & INSTITUTIONS

The persons listed below are the contacts for all correspondence and inquiries throughout the year pertaining to the ABE/C & I program.

SCHOOL DIVISION/COMMUNITY COLLEGE:		
ABE PROGRAM MANAGER:		
ADDRESS:		
CITY:	STATE:	ZIP:
TELEPHONE NUMBER: ()		
FAX NUMBER: ()		
E-MAIL ADDRESS: (REQUIRED)		
FISCAL CONTACT PERSON:		
ADDRESS:		
CITY:	STATE:	ZIP:
TELEPHONE NUMBER: ()		
FAX NUMBER: ()		
E-MAIL ADDRESS: (REQUIRED)		

LIST ALL LOCALITIES SERVED IN A REGIONAL PROGRAM:

Total estimated number of participants you plan to serve in 2005-2006 _____
(Based on prior experience, please use a realistic figure when estimating.)

III. ALLOCATIONS 2005-2006

**Virginia Department of Education
Allocations for 2005 – 2006
Adult Basic Education**

Locality	FY06 Federal Allocations	Maximum Amount of Allocation That Can Be Used for C&I
Accomack	88,849	8,885
Albemarle	74,327	7,433
Alexandria	139,802	13,980
Alleghany	20,737	2,074
Amelia	24,988	2,499
Amherst	63,843	6,384
Appomattox	27,431	2,743
Arlington	194,397	19,440
Augusta	102,072	10,207
Bath	10,000	1,000
Bedford County /Bedford City	98,918	9,892
Bland	14,320	1,432
Botetourt	41,677	4,168
Bristol	34,596	3,460
Brunswick	47,698	4,770
Buchanan	88,232	8,823
Buckingham	40,829	4,083
Buena Vista	13,351	1,335
Campbell	94,529	9,453
Caroline	44,102	4,410
Carroll	74,290	7,429
Charles City	16,496	1,650
Charlotte	31,442	3,144
Charlottesville	46,435	4,644
Chesapeake	207,924	20,792
Chesterfield	226,853	22,685
Clarke	17,381	1,738
Clifton Forge	10,000	1,000
Colonial Beach	10,000	1,000
Colonial Heights	19,880	1,988

*The 10 percent C&I maximum amount is based on the allocation for FY06 only. The total FY06 allocation includes the maximum amount that can be used for C&I.

**Virginia Department of Education
Allocations for 2005 – 2006
Adult Basic Education**

Locality	FY06 Federal Allocations	Maximum Amount of Allocation That Can Be Used for C&I
Covington	12,844	1,284
Craig	10,000	1,000
Culpeper	66,038	6,604
Cumberland	22,102	2,210
Danville	107,622	10,762
Dickenson	45,900	4,590
Dinwiddie	51,709	5,171
Emporia	15,739	1,574
Essex	18,801	1,880
Fairfax /Fairfax City	737,866	73,787
Falls Church	10,000	1,000
Fauquier	60,072	6,007
Floyd	29,026	2,903
Fluvanna	27,883	2,788
Franklin City	16,643	1,664
Franklin County	90,712	9,071
Frederick	87,586	8,759
Fredericksburg	23,909	2,391
Galax	19,013	1,901
Giles	28,584	2,858
Gloucester	45,098	4,510
Goochland	27,238	2,724
Grayson	47,255	4,726
Greene	22,609	2,261
Greensville	33,231	3,323
Halifax	92,750	9,275
Hampton	147,391	14,739
Hanover	80,772	8,077
Harrisonburg	49,035	4,904
Henrico	258,517	25,852

*The 10 percent C&I maximum amount is based on the allocation for FY06 only. The total FY06 allocation includes the maximum amount that can be used for C&I.

**Virginia Department of Education
Allocations for 2005 – 2006
Adult Basic Education**

Locality	FY06 Federal Allocations	Maximum Amount of Allocation That Can Be Used for C&I
Henry	144,458	14,446
Highland	10,000	1,000
Hopewell	42,700	4,270
Isle of Wight	49,717	4,972
King and Queen	14,467	1,447
King George	22,009	2,201
King William	18,874	1,887
Lancaster	22,277	2,228
Lee	63,004	6,300
Loudoun	94,446	9,445
Louisa	50,575	5,058
Lunenburg	34,734	3,473
Lynchburg	93,699	9,370
Madison	21,548	2,155
Manassas	48,113	4,811
Manassas Park	17,030	1,703
Martinsville	34,771	3,477
Mathews	13,139	1,314
Mecklenburg	76,282	7,628
Middlesex	19,400	1,940
Montgomery	78,605	7,861
Nelson	32,622	3,262
New Kent	19,105	1,911
Newport News	193,069	19,307
Norfolk	327,809	32,781
Northampton	31,267	3,127
Northumberland	22,572	2,257
Norton	10,000	1,000
Nottoway	41,059	4,105
Orange	46,702	4,670
Page	57,536	5,754

*The 10 percent C&I maximum amount is based on the allocation for FY06 only. The total FY06 allocation includes the maximum amount that can be used for C&I.

**Virginia Department of Education
Allocations for 2005 – 2006
Adult Basic Education**

Locality	FY06 Federal Allocations	Maximum Amount of Allocation That Can Be Used for C&I
Patrick	52,032	5,203
Petersburg	73,322	7,332
Pittsylvania	143,140	14,314
Poquoson	10,000	1,000
Portsmouth	172,258	17,226
Powhatan	36,264	3,626
Prince Edward	35,167	3,517
Prince George	41,068	4,107
Prince William	230,910	23,091
Pulaski	65,531	6,553
Radford	11,498	1,150
Rappahannock	12,005	1,201
Richmond City	341,308	34,130
Richmond County	26,859	2,686
Roanoke City	168,072	16,807
Roanoke County	90,684	9,068
Rockbridge/Lexington	50,031	5,003
Rockingham	128,055	12,805
Russell	79,583	7,958
Salem	32,088	3,208
Scott	59,021	5,902
Shenandoah	62,847	6,285
Smyth	75,692	7,569
Southampton	46,647	4,665
Spotsylvania	97,277	9,728
Stafford	73,433	7,343
Staunton	41,769	4,177
Suffolk	101,767	10,177
Surry	13,997	1,400
Sussex	40,469	4,047
Tazewell	101,205	10,121

*The 10 percent C&I maximum amount is based on the allocation for FY06 only. The total FY06 allocation includes the maximum amount that can be used for C&I.

**Virginia Department of Education
Allocations for 2005 – 2006
Adult Basic Education**

Locality	FY06 Federal Allocations	Maximum Amount of Allocation That Can Be Used for C&I
Virginia Beach	303,356	30,336
Warren	52,981	5,298
Washington	99,960	9,996
Waynesboro	32,069	3,207
West Point	10,000	1,000
Westmoreland	36,956	3,696
Williamsburg/James City	46,407	4,641
Winchester	43,023	4,302
Wise	100,873	10,087
Wythe	56,817	5,682
York	35,767	3,577

*The 10 percent C&I maximum amount is based on the allocation for FY06 only. The total FY06 allocation includes the maximum amount that can be used for C&I.

IV. Assurances

STATEMENT OF ASSURANCES

As the chief executive officer of the applicant, I assure that the following actions shall be taken to comply with state and federal requirements of Adult Basic Education:

1. The eligible provider shall establish measurable goals for participant outcomes consistent with the National Reporting System (NRS) standards and shall evaluate progress toward meeting those standards consistent with Virginia Department of Education requirements.
2. The eligible provider shall demonstrate a commitment to serve individuals in the community who are most in need of literacy services, including individuals who are low-income and/or have minimal literacy skills.
3. The eligible provider shall provide a program that is of sufficient intensity and duration for participants to achieve substantial learning gains.
4. The eligible provider shall use instructional practices, such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read.
5. The eligible provider shall implement activities that are built on a strong foundation of research and effective educational practice.
6. The eligible provider shall effectively employ advances in technology, as appropriate, including the use of computers.
7. The eligible provider shall implement activities that provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship.
8. The eligible provider shall employ licensed, well-trained instructors, counselors, and administrators.
9. The eligible provider shall coordinate with other available resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies.
10. The eligible provider shall offer flexible schedules and support services or referrals to support services (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs.
11. The eligible provider shall maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the eligible agency performance measures. The eligible provider

must use the DOE's Web-based adult education data collection software. The eligible provider must enter data no later than the 20th day of each month, must provide a Table 4 no later than January 20th, and submit all data for the fiscal year no later than July 20th.

12. The eligible provider shall determine whether or not the local communities have a demonstrated need for additional English literacy programs.
13. The eligible provider shall use not less than 95 percent of the federal allocation for adult education and literacy instructional activities and not more than 5 percent of the federal allocation for administration. Should the 5 percent be inadequate, the eligible provider shall negotiate the percentage with the state education agency through a letter of justification, not to exceed 20 percent.
14. This plan has been developed through a comprehensive planning process through which all of the appropriate local and/or regional agency representatives and private literacy providers were given the opportunity to participate/provide input.
15. The eligible provider shall provide access to adult education services free of discrimination based on race, gender, religious preference, national origin, or disabling condition.
16. The eligible provider shall not use federal funds to supplant state or local funds designated for adult education services.
17. Statistical, financial, and descriptive reports related to adult education (including follow-up on learners) that are required by the Virginia Department of Education shall be provided.
18. The eligible provider's matching funds shall be at least 15 percent.
19. The eligible provider shall expend no more than 10 percent of the total allocation for corrections education and education for other institutionalized individuals.
20. Civil Rights: The eligible provider shall maintain on file signed copies of all assurances related to the Act (HEW form 441), Protection of Human Subjects (HEW form 596), Privacy Act of 1974 (Public Law 93-579), Freedom of Information (Public Law 93-504), section 504, and the Rehabilitation Act (HEW form 641).

(School Division)

(Signature of Division Superintendent)

(Date)

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROGRAM NAME State Administered Adult Education Basic Grants Program
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

**Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, ☐ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROGRAM NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

1. Type of Federal Action: a. contract ____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application ____ b. initial award c. post-award	3. Report Type: a. initial filing ____ b. material change For material change only: Year ____ quarter ____ Date of last report ____
4. Name and Address of Reporting Entity: ____ Prime ____ Subawardee Tier ____, if Known: Congressional District, if known:		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Program (0348-0046), Washington, DC 20503

V. APPENDIX

**SAMPLE
ADULT EDUCATION
COMPUTER EQUIPMENT INVENTORY FOR ABE FUNDS
MAY 2005**

Description of Equipment	Serial # or Model #	Acquisition Date	Cost	% Federal Participation in Cost	Location of Equipment	
<i>Examples:</i>						
1 <i>Dell Computer Monitor</i>	<i>A1115555</i>	<i>3/1/2004</i>	<i>\$1,500</i>	<i>100%</i>	<i>Adult Learning Center</i>	
2 <i>Epson Printer</i>	<i>788-0B7</i>	<i>3/1/2004</i>	<i>\$700</i>	<i>100%</i>	<i>One-stop Center</i>	
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						

****Note:** List on this form all computers and computer-related equipment purchased with ABE funds currently in use by your program.